

ORDINANCE

DOCTOR OF PHILOSOPHY (PhD)

Effective from 2016-17

(Revised)



INTEGRAL UNIVERSITY

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The following regulations are based on the University Grants Commission (UGC) Regulations (2016) and the Integral University (here-in after called as the University) Statutory Acts 2006. However, guidelines issued by All India Council for Technical Education (AICTE), Medical Council of India (MCI), Dental Council of India (DCI), Nursing Council of India (NCI), Pharmacy Council of India (PCI) or any such other statutory bodies, from time to time shall also be considered as minimum requirement for registration to concerned PhD Programmes of the University. Any updates in the guidelines by UGC or any other above-mentioned statutory bodies from time to time shall overtake the existing regulations in this Ordinance.

1. Eligibility

A candidate seeking admission to the Doctor of Philosophy (PhD) program of the University must hold at least one of the following qualifications:

- 1.1 Candidates for admission to the PhD programme shall have a Master's degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7-point scale (or an equivalent grade in a point scale wherever grading system is followed) or an equivalent degree from a foreign educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 1.2 In addition, first division or 60% marks in aggregate or its equivalent grade 'A' in the UGC 7-point scale in M.Tech., MBA, MCA, M.Pharm, M.Arch., MD, MS, DM, MCH, MPTh, M.Sc. (Nursing), Diplomate/Fellow of NBE or equivalent qualification in a relevant field shall be considered as minimum qualification for admission to PhD Programme in respective disciplines.
- 1.3 A relaxation of 5% of marks, from 55% to 50%, or an equivalent relaxation of grade, may be allowed for those belonging to SC/ST/OBC(non-creamy layer)/Differently-abled and other categories of candidates as per the decision of the Commission from time to time, or for those who had obtained their Master's degree prior to 19th September, 1991. The eligibility marks of 55% (or an equivalent grade in a point scale wherever grading system is followed) and the relaxation of 5% to the categories mentioned above are permissible based only on the qualifying marks without including the grace mark procedures.
- 1.4 Candidates possessing a Degree considered equivalent to M.Phil. Degree of an Indian Institution, from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions, shall be eligible for admission to Ph.D. programme.

2. Duration of the Programme

- 2.1 The duration of the programme for a candidate shall be counted from the date of his/her admission.
- 2.2 Ph.D. programme shall be for a minimum duration of three years, including course work and a maximum of six years for full-time candidates. The corresponding period for part-time candidates shall be four and six years, respectively.
- 2.3 In exceptional cases, depending upon merits and recommendation of the Research Development Committee (RDC) (Clause 6), the Vice Chancellor may extend the maximum duration as mentioned above, by a further period of one year for special reasons to be

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recorded in writing. Extension of duration may be granted maximum of two times. If the candidate is unable to submit the thesis even within the extended duration, he/she shall cease to be a student of the University and the registration shall stand cancelled automatically.

- 2.4 The women candidates and Persons with Disability (more than 40% disability) may be allowed a relaxation of two years for Ph.D. in the maximum duration. In addition, the women candidates may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. for up to 240 days. The University rules regarding maternity/childcare leaves shall apply to the Part-time (Internal) candidates registered for PhD programmes as per the Clause 3.6 below.
- 2.5 The registered full-time internal candidates as per the Clause 3.5 below are required to reside for a minimum of three years inside University to carry out the proposed research work. However, under special circumstances, a candidate may be allowed by the RDC to be outside campus for collection of samples and/or analysis for certain period.

3. Procedure for Admission and Registration

- 3.1 Subject/discipline-wise distribution of available seats shall be advertised. A candidate seeking admission in the PhD programme must apply to the university in the prescribed application form. The duly filled application forms and the pertinent documents will be scrutinized prior to issuing the admit card for entrance exam.
- 3.2 The admission shall be made on the basis of Entrance Test (max. 200 marks) followed by an interview (max. 100 marks). The candidates who qualify UGC-NET (including JRF)/UGC-CSIR NET (including JRF)/SLET/GATE/teacher fellowship holder or have passed M.Phil (Regular) programme shall be exempted from written entrance test. These candidates shall be admitted on the interview-only based merit.
- 3.3 An Entrance Test shall be qualifying with qualifying marks as 50%. The syllabus of the Entrance Test shall consist of 50% of research methodology and 50% shall be subject specific. The interview criteria shall cover the subject knowledge, research skill, research temperament, communication/presentation skills and significance of the proposed research.
- 3.4 All candidates qualified in written entrance test as well as the exempted candidates shall appear in the interview before Research and Development Sub-Committee (RDSC) (Clause 7). The candidate has to secure minimum 50% marks in aggregates from both entrance and interview to be eligible for the admission in the PhD programme. The candidates shall be admitted strictly on the basis of combined merit list. The vacant seats may be filled by the waitlisted candidates.
- 3.5 The qualified candidates shall be registered as full-time regular PhD scholars whose research work place is inside the University campus (full-time internal) or a reputed and accredited institution/organization with all the necessary research facilities to carry out the proposed research (full-time external). Full-time external candidates generally are on the fellowships or in the funded projects as project fellows and will be required to submit "No Objection Certificate (NOC)" from the competent authorities of their institution/organization.
- 3.6 All other candidates may be allowed to register as part-time internal (University employees) or part-time external (who are employed outside the Integral University having required infrastructure for the proposed research) PhD scholars. The part-time external candidates will be required to submit a NOC from the competent authorities of the university/college/institution/employer.
- 3.7 If a registered PhD scholar gets a full-time/part-time job or project fellowship at any time before pre-PhD permission, he/she has to obtain a NOC from both the University and the organization supposed to be joining for the said job/fellowship. The scholar's status shall be

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ON.....17/11/16.....

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changed accordingly by the RDC or RDSC and subsequently shall be governed by the prescribed respective category rules in terms of duration and number of RDCs required for pre-PhD permission or thesis submission.

- 3.8 A candidate shall be registered for PhD programme in the same subject in which he/she has passed his/her qualifying examination. However, based on merit and requirement, interdisciplinary research may also be carried out and in that case the candidate will be registered in the qualifying discipline and not in the associated discipline.
- 3.9 **Admission of the NRIs/OCIs/foreign citizens in the PhD programme:** These candidates seeking admission in the PhD programme shall be exempted from the entrance test. Their applications shall be reviewed by the RDSC which shall recommend the provisional admission provided the availability of the Research Supervisor, proposed research expertise and eligibility conditions mentioned above are fulfilled. In addition, these scholars also have to submit NOC from their respective Embassy, NOC from the current University/Institution and prescribed fee. These candidates are required to follow the University Guidelines and shall be governed by the terms and conditions of this Ordinance as Full-time Internal candidates during the entire period of their registration as PhD scholars.

4. Allocation of Research Supervisor

- 4.1 Any full-time regular Professor of the university with at least five research publications and any full-time regular Associate/Assistant Professor of the University with a PhD degree and at least two research publications in Thomson Reuter ISI-indexed journals and/or refereed SCI may be recognized as Research Supervisor. However, in areas/disciplines where there is no or only limited number of refereed journals, the above condition may be relaxed by the RDC with reasons recorded in writing for recognition of a Research Supervisor.
- 4.2 The regular full time physicians with MD/MS qualification having minimum 8 years of teaching experience and fulfilling the above conditions for the research publications may also be considered as Research Supervisors as per the MCI Regulations.
- 4.3 The external Supervisors from outside the University are not allowed, however, a Co-Supervisor from the interdisciplinary department of the University or any other recognized institution may be allowed with the approval from the RDC.
- 4.4 The allocation of Research Supervisor for a selected PhD scholar shall be decided by the RDC or RDSC taking into due consideration the research interest of the scholar, the available specialization among the Supervisors and the number of scholars per Supervisor.
- 4.5 A Research Supervisor who is a Professor, at any given point of time, cannot guide more than eight (08) PhD scholars. An Associate Professor as Research Supervisor can guide up to a maximum of six (06) PhD scholars while an Assistant Professor as Research Supervisor can guide up to a maximum of four (04) PhD scholars. In addition, maximum 03 PhD scholars can be allocated to a Research Supervisor to act as Co-Supervisor. The number of scholars per Research Supervisor for the physicians as Research Supervisors shall be governed as per the MCI regulations.
- 4.6 In case of Research Supervisor leaving the University on account of resignation, retirement, termination, death, being unapproachable, unwilling to continue to supervise the scholar, scholar unwilling to continue with the assigned supervisor or in any other circumstances necessitating such a change, the Head of the Department shall recommend a change of Research Supervisor to the RDC. For the interim period normally not exceeding 6 months, RDC may ask the HoD concerned to discharge the duties of Research Supervisor as administrative supervisor or assign the scholar to any other eligible Research Supervisor depending on the availability.
- 4.7 After thesis submission, the supervisor will be deemed as disengaged from that particular

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scholar and will be eligible to take a fresh PhD scholar.

5. Course Work

- 5.1 The minimum credits assigned for the PhD course work shall be 08 credits, consisting of two papers, one Research Methodology and other Subject/Topic-Specific. The maximum marks for each paper will be 100. The course work shall be assigned by the RDC or RDSC after the registration in coordination with the department and research interest shown by the PhD scholars.
- 5.2 The Research Methodology paper shall be coordinated by the Office of the Research and Development (R&D) or assigned coordinator by the Dean, R&D. However, the subject-specific paper given by the concerned department shall be coordinated by the Departmental PhD Coordinator. Regular monitoring of attendance shall be routinely recorded. Expected attendance is 80% in both the courses.
- 5.3 All the registered PhD scholars shall be required to complete the prescribed course work during the initial two semesters.
- 5.4 Candidates already holding M.Phil. degree and admitted to the PhD programme, may be exempted by the RDC from the PhD course work. All other candidates admitted to the PhD programme shall be required to complete the prescribed PhD course work.
- 5.5 Grades in the course work, including the Research Methodology shall be finalized after the combined assessment as per the approved evaluation scheme having 80% theoretical written examination and 20% internal evaluation (5% attendance and 15% for assigned presentation). The PhD scholar has to obtain minimum of 55% of marks in each paper or its equivalent grade in the UGC 7-point scale or an equivalent grade/CGPA in a point scale grading system.
- 5.6 All the PhD scholars are expected to pass the course work in the first semester in order to start their research work after title and synopsis approval by the subsequent RDC. If the scholar fails to pass in the first attempt, one more attempt may be given to clear the course work, failing which his/her PhD registration may be cancelled. In rare circumstances with justifying evidences, RDC may recommend to the Vice Chancellor for a final attempt to clear the course work paper(s), however, till then the PhD scholar shall not be allowed to undertake any research work.

6. Research and Development Committee (RDC) and its functions

6.1 There shall be a separate RDC for each department.

6.2 RDC shall comprise:

1.	Dean, Research & Development or Vice Chancellor Designate	Chairman
2.	Dean of the faculty concerned	Vice Chairman
3.	Head of the Department	Convener
4.	One Internal Expert from the University to be nominated by the RDC Chairman	Member
5.	One External Expert of the department not below the rank of an Associate Professor and not belonging to the University to be nominated by the Vice Chancellor or his designate on the recommendation of the RDC Chairman.	Member
6.	Supervisor(s)	Member
7.	Special Invitee(s) by the RDC Chairman	Invited Member(s)

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- 6.3 RDC shall meet twice in each academic year and half of the members shall form the quorum for a meeting with essential presence of the external expert. The meeting minutes shall be finalized and signed by the external expert and other members. The minutes shall be forwarded to the HoD for dissemination to the supervisor and/or scholar as per the decision recorded in meeting minutes.
- 6.4 Functions and Duties of RDC
- 6.4.1 To allocate the research supervisors, course work, review the research proposal and finalize the research topic based on availability of the expertise and infrastructure
- 6.4.2 To periodically examine and review the progress of PhD scholar's research work for evaluation and guidance
- 6.4.3 To give permission for pre-PhD presentation to the PhD scholar which may be conducted as open presentation before the RDSC
- 6.4.4 RDC may assign or approve certain functions/duties to the RDSC.
- 6.5 The PhD scholar has to submit the duly filled and signed Progress Report form at least two weeks before the scheduled RDC meeting to the Departmental PhD Coordinator who in turn will submit them collectively to the Office of the Research and Development a week prior to the RDC meeting for review.
- 6.6 The scholar has to present his/her progress before the RDC. Continuation of the registration of a PhD scholar in the PhD programme will depend on his/her satisfactory progress and conduct. This will count towards maximum of 20 credits.
- 6.7 In case the progress of PhD scholar is unsatisfactory, the RDC shall record the reasons for the same and suggest corrective measures. If the PhD scholar fails to implement these corrective measures and again the progress is unsatisfactory, the RDC may recommend with specific reasons for cancellation of the registration of that PhD scholar. If a registered PhD scholar fails to appear in two successive RDCs then his/her registration is liable to be cancelled. In case, he/she is permitted to continue, the scholar has to deposit re-admission and/or Continuation fee along with any previous dues.
- 6.8 A PhD scholar may be normally permitted by the RDC to modify his/her topic of the research and/or synopsis on the recommendation of the supervisor within the first two RDCs.
- 6.9 All PhD scholars have to be in regular contact with their Research Supervisor(s) for research guidance and the attendance of the scholars has to be duly recorded and furnished by the Research Supervisor(s) in the Progress Report Form. The poor attendance shall be considered as "Unsatisfactory progress" unless certified by the Research Supervisor or Co-Supervisor and HoD with justifiable evidences.

7. Research & Development Sub-Committee (RDSC):

7.1 Each RDSC shall comprise:

1.	Dean, Research & Development/RDC Chairman	Chairman
2.	Dean of the faculty concerned	Vice Chairman
3.	Head of the Department	Convener
4.	Director, Planning & Research	Member
5.	Special Invitee(s) by the Chairman	Invited Member(s)

7.2 RDSC shall meet as and when required and 2/3rd of the members shall form the quorum for a meeting.

7.3 RDSC functions and duties:

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ON 17/11/16


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- 7.3.1 To finalize and advertise the number of vacancies in a PhD program
- 7.3.2 To conduct the Entrance examination in coordination with Examination Section and subsequent interview
- 7.3.3 To facilitate the admission and registration of a candidate including the NRIs/OCIs/foreign citizens in PhD programme
- 7.3.4 To conduct the open pre-PhD presentations permitted by the RDC
- 7.3.5 To evaluate the progress report of the PhD scholar as special case
- 7.3.6 To perform any other task assigned by the RDC
- 7.3.7 To redress the special cases which shall be approved by the forthcoming RDC or the Vice Chancellor

8. Submission of Thesis and Pre-PhD Presentation

- 8.1 Full-time and part-time PhD scholars shall have to attend and clear at least four (04) and six (06) RDC meetings after successful completion of the course work, respectively.
- 8.2 Under the CBCS, a minimum of 88 credits including 08 credits for course work and 80 credits for research work have to be earned in order to be eligible for pre-PhD permission.
- 8.3 Prior to the submission of thesis, the scholar shall make an open Pre-PhD presentation in front of RDC or RDSC along with Research supervisor, Co-Supervisor, faculty members and other research scholars. A draft thesis on the University prescribed format has to be presented during the Pre-PhD presentation. The feedback and comments obtained from them may be suitably incorporated into the draft thesis which shall be communicated through the RDC or RDSC meeting minutes.
- 8.4 Pre-PhD permission shall not be normally given unless the scholar shows all the approved objectives have been achieved with at least one publication in Thomson Reuter and/or SCI or Scopus indexed journals in addition to either one additional publication or two paper presentations in International and/or National conferences/seminars before the submission of the thesis for adjudication, and produce evidence for the same in the form of presentation certificates, acceptance letters and/or reprints.
- 8.5 After successful Pre-PhD presentation, the scholar has to submit one spiral bound thesis and a soft copy using the duly filled thesis submission form and other relevant documents/forms/certificates/annual PhD fee receipts within FOUR months from the date of the Pre-PhD presentation. In case, PhD scholar fails to submit within the stipulated time, he/she may need to take fresh permission from RDC or RDSC to submit it within four months which will be the final permission. Failure to submit his/her thesis again, the registration is liable to be cancelled.
- 8.6 The scholars shall have to deposit the annual PhD fee and any other fee on their due dates until the thesis is submitted even if granted special extension to submit the thesis as mentioned in the Clause 8.5 above. In addition, the scholar has to deposit the prescribed thesis submission and plagiarism check fee prior to submitting his/her thesis.

9. Evaluation of Thesis

- 9.1 Initial review of the submitted thesis will be conducted by the Office of the Research and Development for plagiarism, any other forms of academic dishonesty and correctness of English language. Further, the scholar has to give an undertaking and a certificate from the Research Supervisor(s) attesting to the originality of the work, vouching that there is no plagiarism.
- 9.2 A panel of six external experts duly qualified to examine the thesis shall be prepared and out of which at least four of the examiners in the panel shall be from outside the State of Uttar Pradesh, with preferably one from outside the country. The Vice Chancellor will approve

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ON 17/11/16


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- two external examiners from the panel. Research Supervisor(s) shall act as an internal examiner(s).
- 9.3 The thesis shall be sent to the approved examiners for evaluation. A maximum of three months shall be given to the examiners for sending the evaluation report in the prescribed format, failing which the Vice Chancellor may appoint an alternate examiner from the panel as to complete the entire evaluation process and viva voce examination within a period of six months from the date of submission of thesis.
- 9.4 The examiners shall specifically report and recommend whether the thesis be:
- 9.4.1 Approved as it is
OR
- 9.4.2 To be resubmitted after revision/extension/modification of work.
OR
- 9.4.3 Rejected
- 9.5 The compiled reports shall be communicated to the Research Supervisor. The revised thesis along with the rebuttal of the comments/suggestions highlighting the text in the revised thesis where the revision took place shall be submitted to the Office of the Research and Development for the review. The scholar and the Research Supervisor have to provide a certificate in writing that all the modifications/suggestions in the thesis by the examiner have been appropriately incorporated.
- 9.6 If one of the external examiners approves the thesis and the other examiner recommends revision and/or clarifications, the scholar's responses will be communicated to the concerned examiner. Viva voce examination may be conducted following positive reply of the concerned examiner. In case of negative reply from the concerned examiner, the scholar shall be given one more chance to rectify the comments to the satisfaction of the concerned examiner and/or RDC Chairman.
- 9.7 If the PhD scholar is required to revise the thesis by both the examiners, the scholar shall revise the thesis within maximum one year from the date of communication. The PhD scholar shall have to pay an additional examination and other pertinent fee as prescribed by the University from time to time for resubmission of his/her thesis.
- 9.8 The resubmitted thesis shall be examined by all the examiners. A copy of each of the previous evaluation report shall be sent to the examiners. The examiners shall clearly recommend whether the scholar has incorporated all the comments in the revised thesis which is to be approved or rejected.
- 9.9 If one of the evaluation reports of the external examiner is unsatisfactory and does not recommend viva voce, the University shall send the thesis to another external examiner out of the approved panel of examiners and the viva voce examination shall be held only if the report of the latter examiner is satisfactory. If the report of the latter examiner is also unsatisfactory, the thesis shall be rejected and the research scholar shall be declared ineligible for the award of the degree.
- 9.10 If both the external examiners reject the thesis at the first place, the thesis shall stand rejected.
- 9.11 The viva voce examination shall be conducted by the RDC Chairman, Research Supervisor and at least one of the two external examiners appointed by the Vice Chancellor, and shall be open to all the students and staff of University. In case of the inability of the external examiners to attend the viva voce examination of the PhD scholar in the subsequent two months, the Vice Chancellor may appoint another external examiner for conducting viva voce examination who will be given suitable time to go through the thesis.
- 9.12 The external and internal examiners shall give a clear recommendation for the award of PhD degree based on the satisfactory performance by the scholar during the viva voce

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examination. In case the scholar is required to re-appear for a viva voce examination before the same Board of examiners, it shall not be earlier than two months from the date of the first viva voce examination. The scholar has to pay the additional examination fee. If the performance of the PhD scholar at the second viva voce examination is unsatisfactory, the thesis shall be rejected.

- 9.13 Every effort shall be made to complete the entire process of thesis evaluation within a period of six months from the date of submission of the revised thesis after initial review by the Office of Research & Development.

10. Award of PhD Degree

- 10.1 After the successful viva voce examination, the PhD scholar shall submit three hard bound and two soft copies of the thesis to the Office of Research and Development.
- 10.2 The PhD scholar shall be eligible for the award of Provisional Certificate, provided the Examination sub-committee recommends and Vice Chancellor approves the same.
- 10.3 The PhD degree will be awarded in the Convocation. The date of the eligibility of the scholar for the PhD degree shall be the date of approval of examination sub-committee's recommendation by the Vice Chancellor.
- 10.4 The award of PhD degree can be withdrawn at any time in case the thesis submitted by the scholar is found to be an act of plagiarism or any other academic misconduct and the examination sub-committee and the Academic Council recommend withdrawal of PhD degree and the Executive Council approves it.

11. Award of PhD degree prior to Notification of these Regulations

- 11.1 Award of degrees to registered scholars for the PhD programme on or after July 11, 2009 till the date of Notification of these Regulations shall be governed by the provisions of the UGC Regulations, 2009, Amendments 2015 and/or respective PhD Ordinance of the University.

12. Depository with INFLIBNET

- 12.1 Following the successful completion of the evaluation process and before the announcement of the award of the PhD degree, the University shall submit an electronic copy of the PhD thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/Universities/Colleges.

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